ORGANIZATIONAL DESCRIPTION

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT (USAID)

Prepared for the U.S. Commission on National Security/21st Century

EXECUTIVE SUMMARY

U.S. Agency for International Development (USAID)

Overview

The U.S. Agency for International Development (USAID) is an independent Agency first established under the Foreign Assistance Act of 1961 that reports to and receives guidance from the Secretary of State. Its mission is to contribute to U.S. national security by helping developing countries achieve economic and political stability through economic development programs, education and training assistance, democracy building, population and environmental programs. USAID also administers humanitarian assistance in response to natural disasters or crises, with the objective of helping countries transition from crisis situations to stability. USAID works both bilaterally and in conjunction with other U.S. Government Agencies, international organizations, non-governmental organizations (NGOs), and private voluntary organizations (PVOs). USAID receives funding for operating and programmatic expenses from the International Affairs section of the President's Budget (also known as Function 150) and it closely coordinates its programs and budget request with the Department of State. Its Administrator and Deputy Administrator participate in the National Security Council Principals Committee (NSC/PC) and Deputies Committee (NSC/DC) respectively, and USAID Assistant Administrators, who head the Agency's regional and functional Bureaus, represent the Agency at Interagency Working Groups (IWGs).

Organization

USAID is led by a Presidentially-appointed Administrator and Deputy Administrator, who report to the Secretary of State. Six offices and bureaus that share management-related responsibilities report directly to the Administrator and Deputy Administrator, as do the Inspector General and the Office of Security. The Agency's assistance programs are administered by four regional and two functional bureaus that also report directly to the Deputy Administrator and Administrator**:** the Bureau for Africa, the Bureau for Asia and the Near East, the Bureau for Latin America and the Caribbean, the Bureau for Europe and Eurasia, the Bureau for Global Programs, and the Bureau for Humanitarian Response. The Bureaus supervise the work of USAID field missions who manage the assistance programs in specific countries or regions. USAID field representatives are located either in separate missions, in U.S. diplomatic missions, or collocated with international or development organizations, depending on the scope of the program and whether it is a bilateral or multilateral effort. The Agency currently operates in four regions of the world**:** Sub-Saharan Africa, Asia and the Near East, Latin America and the Caribbean, and Europe and Eurasia.

Major Organizational Products

USAID's primary products are assistance programs in six areas**:**

- Economic growth and agricultural development;
- Population, health, and nutrition;

- Environment;
- Democracy and governance;
- Education and training;
- Humanitarian assistance.

Role in Formal and Informal National Security Processes

USAID's role in national security is illustrated below**:**

		Strategy Development	Policy, Guidance, and Regulations	Planning	Mission Execution	Observation, Orientation, and Oversight	Preparation	Resourcing
Products	Comments on NSS	✓						
	Comments on IASP	✓						
	USAID Strategic Plan		✓					
	R4s and CSPs		✓	✓				✓
	BBBs			✓				✓
	Comments on MPPs			✓		✓		✓
	Comments on BPPs			✓		✓		✓
	Assistance programs				✓			
	Professional and technical training						✓	
	USAID Budget							✓
Roles	NSC/PC membership (Administrator)		✓	✓				
	NSC/DC membership (Deputy Administrator)		✓	✓				
	IWG membership (Assistant Administrators)		✓	✓				
	Participation in annual BPP presentations (Adminstrator)					✓		✓
	Representation at international donor meetings				✓			

Notes: NSS = *National Security Strategy*; IASP = *International Affairs Strategic Plan*; R4s = Results Reports and Resource Requests; CSPs = Country Strategic Programs; BBBs = Bureau Budget Submissions; MPPs = *Mission Performance Plans*; BPPs = *Bureau Performance Plans*; NSC/PC = National Security Council Principals Committee; NSC/DC = National Security Council Deputies Committee; IWG = Interagency Working Group.

Strategy Development. USAID reviews the draft *National Security Strategy* and provides comments to the State Department's Office of Policy Planning, which integrates the comments with the State Department input. USAID can influence the development of U.S. international security strategy to the extent that it contributes to the *International Affairs Strategic Plan* (IASP), a document produced by the Department of State that relates the objectives of U.S. Agencies involved in international affairs to specific U.S. national interests.

Policy, Guidance, Regulation. USAID develops broad policy guidelines for its assistance programs in the *USAID Strategic Plan*. The *Plan* describes the goals to be achieved through assistance programs, such as encouraging economic growth in disadvantaged economies and strengthening democratic institutions. USAID further communicates its policy goals to its field missions through two additional documents**:** the Results Reports and Resource Requests (R4s) and the *Country Strategic Plan* (CSP), which describe the programmatic objectives for the year ahead. Finally, USAID provides policy input at the interagency level through the Administrator's participation in the NSC/PC, the Deputy Administrator's representation at the NSC/DC, and the Assistant Administrators' participation in IWGs.

Planning. USAID conducts planning through the preparation of R4s and CSPs and through the integration of the information from R4s and CSPs into USAID's Bureau Budget Submissions (BBBs). USAID Bureaus further coordinate their assistance programs with the Department of State by reviewing the latter's *Mission Performance Plans* (MPPs), which USAID representatives at U.S. Missions abroad participate in writing, and *Bureau Performance Plans* (BPPs). USAID's Administrator, Deputy Administrator, and Assistant Administrators also participate in interagency planning in their capacity as representatives on the NSC/PC, NSC/DC, and IWGs.

Observation, Orientation, Oversight. USAID coordinates its programmatic plan with the Department of State by reviewing the latter's MPPs and BPPs and ensuring that its R4s and CSPs reflect U.S. policy priorities as established in the *International Affairs Strategic Plan*. USAID also exercises some oversight of the preparation of the International Affairs Budget, of which the USAID budget is part, by ensuring that USAID is represented during the State Department's annual presentations of BPPs to the Secretary of State.

Mission Execution. USAID participates in mission execution by implementing assistance programs after a crisis or as crisis prevention. USAID senior officials also engage in negotiations with other donor nations or multilateral organizations as part of crisis prevention or crisis management efforts.

Preparation. USAID is involved in preparation to the extent that it assesses the training needs of its technical staff and implements necessary training programs.

Resourcing. USAID participates in the preparation of the International Affairs Budget, which funds U.S. assistance programs, including defense assistance programs.

Observations

Good Performance in Delivering Assistance. The General Accounting Office (GAO) has evaluated USAID's performance and coordination with other U.S. Government Agencies in providing rule of law assistance to five Latin American countries, and has concluded the

programs are achieving their objectives and are well coordinated at the field level and at the interagency level.[1]

Role of USAID in Future Security Context. To the extent that the U.S. will continue to confront multidimensional security challenges, with humanitarian, socioeconomic and environmental components, assistance programs will be a critical component of crisis prevention and crisis management. USAID should therefore be fully integrated into the national security planning process. It is not clear the extent to which that now occurs beyond the effort to tie USAID planning with State's planning process.

1 General Accounting Office. Foreign Assistance**:** U.S. Role of Law Assistance to Five Latin American Countries. Washington, DC**:** GAO, August 4, 1999. GAO/NSIAD-99-195.

ORGANIZATIONAL DESCRIPTION

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT (USAID)

1. Legal Specifications, Authorizations, and Responsibilities.

A. Background: During the Clinton Administration, the organization of the U.S. Government for foreign assistance policy-making and implementation changed by Executive Order and legislation. The Foreign Assistance Act of 1961 originally established U.S. foreign assistance policy, and an Executive Order by President Kennedy designated USAID as the Agency to administer it. In 1979, Executive Order 12163 established the International Development Cooperation Agency (IDCA) as an independent Agency to coordinate U.S. development assistance policy, making USAID a component of IDCA. In 1998, the Foreign Affairs Reform and Restructuring Act (P.L. 105-77) abolished IDCA and confirmed USAID as an independent Agency, but placed it under the direct authority and policy guidance of the Secretary of State. Thus, the Secretary now reviews and approves USAID's strategic plan and annual performance plan, annual budget submission, resource allocations, and any reprogrammings.[2]

B. Authorizing Statute: Title 22, Chapter 32, Section 2151 of the U.S. Code, as amended, provides authority for U.S. foreign assistance programs and for the organization of the U.S. Government for such programs.

C. Department Directives: USAID Automated Directive System (ADS) Functional Series 100 describes USAID's organization, functions, and management. ADS Series 200 provides guidance regarding the management of assistance programs.[3]

D. Interagency Directives: Executive Order 12163, as amended on March 31, 1999, redelegates economic assistance authorities from the IDCA to the Secretary of State. The Secretary of State, in turn, delegates to USAID the authorities to carry out its mission, including the authority to receive appropriations, to develop policies, and to implement and manage economic assistance programs.[4]

2. Missions/Functions/Purposes.

A. Major Responsibilities:[5] USAID implements U.S. foreign economic and humanitarian assistance programs to help receiving countries achieve sustainable development. In doing so, it works with the people and governments of receiving countries, U.S. businesses, non-governmental organizations (NGOs), private voluntary organizations (PVOs), academic institutions, other U.S. Government Agencies, and international organizations, including international financial institutions. USAID assistance programs focus the following six functional areas: [Key process relation**:** Strategy Development; Policy, Guidance and

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2 Reorganization Plan and Report Submitted by President Clinton to the Congress on December 30, 1998, Pursuant to Section 1601 of the Foreign Affairs Reform and Restructuring Act of 1998, as Contained in Public Law 105-277.

3 ADS is located on the USAID website at http://www.info.usaid.gov/pubs/ads/.

4 Reorganization Plan and Report.

5 Information in this paragraph is drawn from "This is USAID" on the USAID website, at http://www.info.usaid.gov/about/ and from USAID Strategic Plan, no date available, at http://www.info.usaid.gov/pubs/strat_plan/.

Regulation; Observation, Orientation, and Oversight; Planning; Mission Execution; Preparation; Resourcing.]

(1) Economic growth and agricultural development;

(2) Population, health, and nutrition;

(3) Environment;

(4) Democracy and governance;

(5) Education and training; and

(6) Humanitarian assistance.

The Agency operates in four geographic regions:

(1) Sub-Saharan Africa;

(2) Asia and the Near East;

(3) Latin America and the Caribbean; and

(4) Europe and Eurasia.

B. Subordinate Agencies: None.

C. Major Products: The Agency's primary products are development assistance programs in the six functional areas detailed in Paragraph 2.A. USAID prepares Results Reports and Budget Resource Requests (R4s) and *Country Strategic Plans* (CSPs) to describe program needs and request funding for the programs it administers.

3. Vision and Core Competencies.

A. Vision: USAID's mission statement states that USAID "contributes to U.S. national interests through the results it delivers by supporting the people of developing and transitional countries in their efforts to achieve enduing economic and social progress and to participate more fully in resolving the problems of their countries and the world."[6]

B. Core Competencies: USAID's core competencies are the identification of development problems, the formulation of effective solutions to those problems, and the coordination of bilateral and multilateral assistance to help receiving countries implement development solutions.[7]

6 USAID Strategic Plan.

7 USAID Strategic Plan.

4. Organizational Culture.

A. Values: There is no statement of values specific to USAID. According to one source, USAID emphasizes commitment to sustainable development and humanitarian assistance. This source noted that in the past, USAID sought to isolate its mission of foreign assistance from the national security process. The source noted, however, that this mindset is changing and USAID now views itself as having an important role in U.S. national security. This shift is having an impact on the priorities of the organization. According to the source, while in the past USAID designed its assistance programs to achieve long-term goals, it now emphasizes programs that can have an impact in the medium– and short-term.[8]

B. Leadership Traditions: An Administrator and a Deputy Administrator lead USAID under the direct authority and guidance of the Secretary of State.[9] Both positions are political appointments of the President, and nominees are confirmed by the Senate.

C. Staff Attributes: USAID staff is characterized by a commitment to economic development and humanitarian assistance. A majority of professional staff have direct experience working in developing countries and in crisis environments.[10] The majority of USAID employees are from the Civil Service. Approximately one fourth of USAID staff are members of the USAID Foreign Service and rotate from overseas positions to Washington approximately every three years.[11]

D. Strategy: In its *Strategic Plan*, USAID has identified seven specific goals, to which it ties its specific assistance efforts:[12]

(1) Encouraging economic growth and agricultural development;

(2) Strengthening democracy and good governance;

(3) Building human capacity through education and training;

(4) Stabilizing world population and protecting human health;

(5) Protecting the world's environment for long-term sustainability;

(6) Relieving suffering associated with natural or man-made disasters and reestablishing the conditions for political and/or economic development; and

(7) Remaining a premier bilateral development agency.

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8 Interview with USAID official, November 18, 1999.

9 Reorganization Plan and Report.

10 Interview with USAID official, November 18, 1999.

11 Interview with USAID official, November 18, 1999.

12 USAID Strategic Plan.

E. Organizational Structure: USAID's organization is illustrated in the figure below.

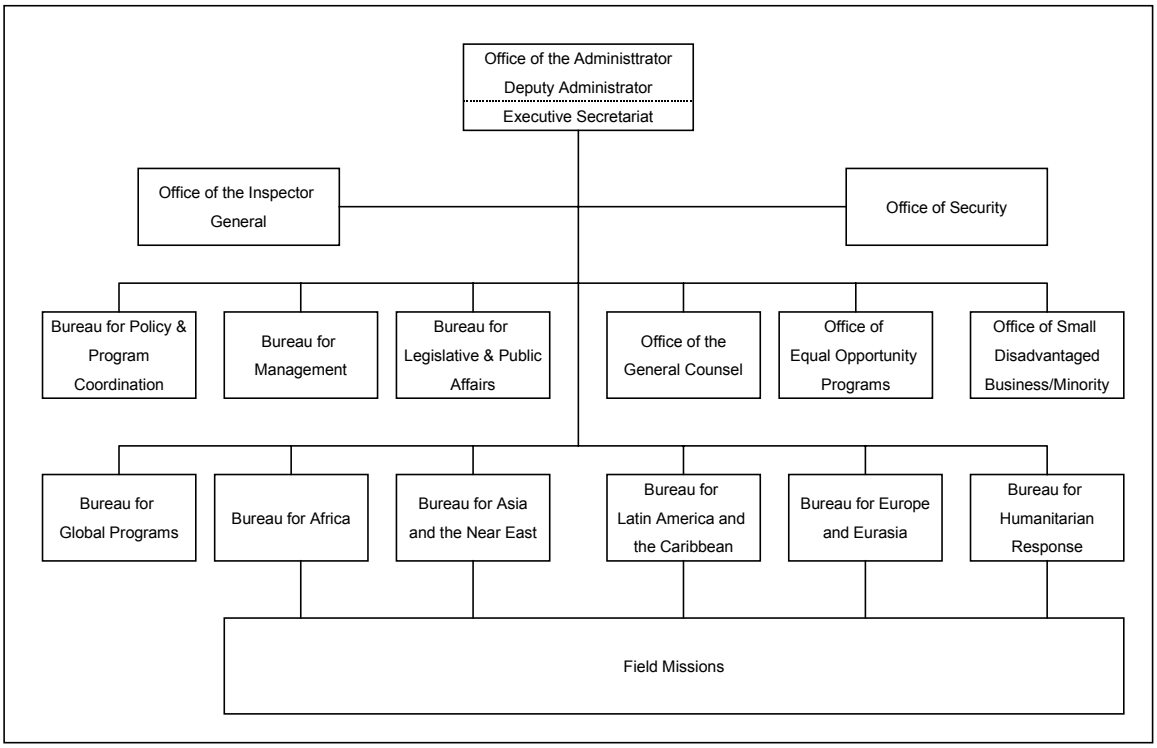

Figure 1: USAID Organization Chart[13]

USAID is headed by an Administrator and a Deputy Administrator, supported by an Executive Secretariat. Twelve offices and bureaus report directly to the Administrator and Deputy Administrator, as do the Inspector General and the Office of Security. In addition, USAID is represented overseas by field offices that administer specific assistance programs.

(1) The Administrator and Deputy Administrator provide overall guidance to USAID. The Administrator reports directly to the Secretary of State and takes policy guidance from her. The Executive Secretariat provides staff support for the Administrator and Deputy Administrator and "facilitates and expedites" the Agency's internal decision-making process.[14]

(2) The Inspector General is responsible for ensuring the integrity of the Agency's operations and activities by carrying out audits and appraisals.

(3) The Office of Security is responsible for the security of the USAID and USAID operations worldwide and liaises with the State Department's Intelligence and Research Bureau and Bureau of Diplomatic Security.

(4) Bureau for Policy and Program Coordination is responsible for integrating policy and program priorities and for ensuring that the USAID budget allocations reflect the Administration's priorities.

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13 This chart was current as of January 1999. Source**:** USAID website, at: http://www.info.usaid.gov/about/usaidchart.htm.

14 The information in this and following paragraphs is drawn from**:** USAID. Administrative Directive System Chapter 101**:** Agency Programs and Functions. Functional Series 100**:** Organizational and Executive Management.

(5) Bureau for Management provides program and management support for USAID, including personnel management, accounting, and finance.

(6) Bureau for Legislative and Public Affairs supports USAID in its relations with the Congress and the public.

(7) Office of the General Counsel serves as USAID's source of legal advice.

(8) Office of Equal Opportunity Programs formulates and administers policy related to employment matters.

(9) Office Of Small And Disadvantaged Business Utilization/Minority Resource Center formulates and administers policies to increase the participation of small and disadvantaged enterprises in USAID's activities and programs.

(10) Bureau for Global Programs formulates and implements programs that address global problems and are scientific and technical in nature.

(11) Bureau for Africa directs and oversees USAID's activities in Africa.

(12) Bureau for Asia and the Near East supervises Agency activities in Asia and the Near East.

(13) Bureau for Latin America and the Caribbean supervises Agency activities in both regions.

(14) Bureau for Europe and Eurasia supervises Agency activities in this region.

(15) Bureau for Humanitarian Response supervises food assistance and international disaster assistance programs and programs administered by non-governmental voluntary organizations. It is also involved with international programs focused on effecting political change during crises and transitions.

(16) Field Missions represent USAID in countries and regions where it administers aid programs. The type of USAID presence varies according to the programs being delivered. In cases where the assistance is substantial or involves more than one type of assistance, USAID is represented by a Bilateral Country Mission. Where the program is less expansive in scope, USAID may be represented at the regional level by a Multi-Country Mission. Occasionally, a USAID program is carried out by international development organizations where the USAID presence consists of a small USAID contingent, or where other U.S. Government Agencies may be present.

5. Formal National Security Process Involvement. The figure below describes USAID's role in the seven key national security processes.

		Strategy Development	Policy, Guidance, and Regulations	Planning	Mission Execution	Observation, Orientation, and Oversight	Preparation	Resourcing
Products	Comments on NSS	✓						
	Comments on IASP	✓						
	USAID Strategic Plan		✓					
	R4s and CSPs		✓	✓				✓
	BBBs			✓				✓
	Comments on MPPs			✓		✓		✓
	Comments on BPPs			✓		✓		✓
	Assistance programs				✓			
	Professional and technical training						✓	
	USAID Budget							✓
Roles	NSC/PC membership (Administrator)		✓	✓				
	NSC/DC membership (Deputy Administrator)		✓	✓				
	IWG membership (Assistant Administrators)		✓	✓				
	Participation in annual BPP presentations (Adminstrator)					✓		✓
	Representation at international donor meetings				✓			

A. Strategy Development:

(1) Major Activities: USAID reviews the draft *National Security Strategy* and provides comments to the State Department's Office of Policy Planning, which integrates the comments with the State Department input. USAID contributes to drafting the *International Affairs Strategic Plan* (IASP) and uses the IASP as the basis for the *USAID Strategic Plan*.

(2) Stakeholders: USAID, State Department, U.S. Missions abroad, assistance-receiving countries.

(3) Key USAID Processes: *USAID Strategic Plan* preparation.

(4) Associated Higher-Level Processes: IASP preparation.

(5) Associated Lower-Level Processes: R4s and CSPs preparation.

B. Policy, Guidance, Regulation:

(1) Major Activities: USAID prepares the *USAID Strategic Plan* as a guide for USAID field missions in assembling the R4s and CSPs. The USAID Administrator influences national security policy through his participation in meetings of the National Security Council Principals Committee (NSC/PC).[15] The Deputy Administrator participates in the NSC Deputies Committee (NSC/DC).[16] Assistant Administrators of USAID Bureaus participate in Interagency Working Groups (IWGs) depending on the issue. During the U.S. response to the crisis in Rwanda, for example, USAID participated in an IWG that also included members from the Central Intelligence Agency, the Defense Intelligence Agency, and the Intelligence and Research Bureau in the Department of State.[17]

(2) Stakeholders: USAID, NSC/PC members, NSC/PC members, U.S. Missions abroad, other U.S. Government Agencies involved in assistance programs, assistance-receiving countries.

(3) Key USAID Processes: None.

(4) Associated Higher-Level Processes: IASP preparation, *Mission Performance Plans* (MPPs) and *Bureau Performance Plans* (BPPs) preparation.

(5) Associated Lower-Level Processes: R4s and CSP preparation.

C. Planning:

(1) Major Activities: USAID influences planning through the Administrator's participation in the NSC/PC, the Deputy Administrator's participation in the NSC/DC, and the Assistant Administrator's participation in Interagency Working Groups. USAID prepares annual R4s, CSPs, and Bureau Budget Submissions (BBSs) that lay out USAID program priorities for the year ahead. USAID staff at U.S. Missions abroad participate in the preparation of MPPs and USAID Bureaus participate in developing State Department BPPs. The USAID Administrator participates in the Secretary's annual review of BPPs.[18]

(a) R4 and CSP Preparation:[19] (See Appendix 1 for process map.) USAID prepares R4s and CSPs to identify program priorities for the year ahead, to report on the performance of the programs in the year past, and to gather information that is used in the budget request. The process begins with the State Department's preparation of the IASP, to which USAID contributes. The plan informs USAID in formulating its own *Strategic Plan*, to which the State Department contributes. USAID Bureaus then prepare the planning guidance for the R4s and the CSPs. USAID Mission Directors use this guidance to prepare their respective R4s and CSPs, coordinating with the Ambassadors, who concur with the products. Mission Directors also draw from their R4s and CSPs to contribute to the MPPs to harmonize the programmatic

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15 Interview with USAID official, November 18, 1999.

16 Interview with USAID official, November 18, 1999.

17 Interview with USAID official, November 18, 1999.

18 Reorganization Plan and Report.

19 This information is drawn from U.S. Agency for International Development, Bureau for Policy and Program Coordination. U.S. Agency for International Development Annual Performance Plan for FY 2000. February 28, 1999, pg. 9.

and budget proposals. USAID Bureaus then review the R4s and CSPs and provide feedback to Embassies and USAID Missions on MPPs, R4s, and CSPs. Bureaus also work with their State Department counterparts in assembling the State Department's BPPs and USAID's BBSs.

(b) MPP and BPP Preparation: (See Appendix 2 for process map.) MPPs are developed in the fall by the U.S. Missions abroad under the leadership of the Ambassador. The MPP sets priorities for the work of the Mission in the year ahead, identifies the resource needs of the Mission, and provides information about the international activities of all U.S. Government Agencies represented at the Mission. USAID representatives at the Mission include in the MPP information about the assistance programs to be carried out by the Mission in the year ahead, including program goals and objectives, drawing from the R4s and CSP for this input.[20] The MPP is then sent to the relevant geographic and functional Bureaus at the Department of State, which begin drafting BPPs in February. BPPs are based on MPPs but are broader in scope, as they translate the Mission plans into regional goals for the State Department. BPPs also justify the Bureau's budget request for the fiscal year ahead. USAID Bureaus provide input to the State Bureaus as they draft their BPPs.

(c) BPP Review: In the Summer, the State Department's Office of Resources, Plans, and Policy (S/RPP) and the Policy Planning Staff (S/P) review the BPPs and write issue papers for the Secretary of State highlighting specific policy challenges or issues. In July, State's Bureaus brief their BPPs to the Secretary. These sessions include the USAID Administrator, representatives from the Office of Management and Budget (OMB), and other U.S. Government Agencies with an interest in the topics at hand. Bureaus revise their BPPs based on the feedback from these presentations and S/RPP works during the fall to prepare State's program request for the Function 150 budget submission.

(2) Stakeholders: USAID Bureaus, U.S. Missions abroad and USAID Mission Directors, State Department Bureaus, Secretary of State, S/P, S/RPP, OMB, assistance-receiving countries.

(3) Key USAID Processes: R4, CSP, BBS preparation.

(4) Associated Higher-Level Processes: MPP and BPP preparation, IASP preparation, USAID Strategic Plan preparation, Function 150 Budget preparation.

(5) Associated Lower-Level Processes: None.

D. Mission Execution:

(1) Major Activities: The USAID Administrator represents the U.S. Government in contacts with development officials of other donor nations, at Organization for Economic Cooperation and Development (OECD) Development Assistance Committee Meetings, and in development-related matters with international financial institutions.[21] USAID administers assistance programs either directly, in cooperation with other U.S. Government Agencies, through NGOs or PVOs, or through multilateral development agencies.

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20 GAO/NSIAD-99-195.

21 Reorganization Plan and Report.

(2) Stakeholders: USAID, U.S. Missions abroad, other U.S. Government Agencies involved in specific assistance programs, multilateral organizations, NGOs, PVOs, recipient countries.

(3) Key USAID Processes: R4s and CSPs.

(4) Associated Higher-level Processes: MPPs and BPPs, Function 150 Budget preparation process.

(5) Associated Lower-level Processes: None.

E. Observation, Orientation, Oversight:

(1) Major Activities: USAID coordinates assistance programs with the State Department and other U.S. Government Agencies by providing input to MPPs and BPPs. USAID also coordinates with the Department of State in the latter's preparation of the International Affairs Budget request by observing the State Department Bureaus' presentations of their BPPs to the Secretary.

(a) MPP and BPP: See Paragraph 5.C.(1)(b).

(b) BPP Review: See Paragraph 5.C.(1)(c).

(2) Stakeholders: USAID Bureaus, U.S. Missions abroad and USAID Mission Directors, State Department Bureaus, Secretary of State, S/P, S/RPP, OMB, assistance-receiving countries.

(3) Key USAID Processes: R4s and CSP preparation.

(4) Associated Higher-level Processes: MPP and BPP preparation, Function 150 Budget request preparation.

(5) Associated Lower-level Processes: None.

F. Preparation:

(1) Major Activities: USAID works jointly with State to develop professional and technical training programs for its staff.[22]

(2) Stakeholders: USAID professional staff, assistance-receiving countries.

(3) Key USAID Processes: None.

(4) Associated Lower-level Processes: None.

22 Reorganization Plan and Report.

(5) Associated Higher-level Processes: USAID budget request preparation, Function 150 budget request preparation

G. Resourcing:

(1) Major Activities: (See Appendix 3 for process map.) USAID assembles its budget request and coordinates with the Department of State in assembling the International Affairs Budget request. USAID prepares its budget request based on information contained in the R4s and CSPs. The process begins with the State Department's preparation of the International Affairs Strategic Plan, to which USAID contributes. The plan informs USAID in formulating its own Strategic Plan, to which State contributes. USAID Bureaus then prepare the planning guidance for the R4s and the CSPs, which identify program priorities for the year ahead. USAID Mission Directors use this guidance to prepare their respective R4s and CSPs, coordinating with the Ambassadors, who concur with the products. USAID Bureaus then review the R4s and CSPs and produce BBBs. The Bureau for Policy and Program Coordination (PPC) and the Bureau for Management (M) review the Bureau Budget Submissions and prepare the USAID budget request.[23] USAID presents its budget to OMB at yearly sessions held at USAID. S/RPP attends these sessions. Following this presentation, USAID presents its budget to the Secretary of State for approval.[24]

(2) Stakeholders: USAID Bureaus, U.S. Missions and USAID Mission Directors, State Department, Secretary of State, S/RPP, OMB, assistance-receiving countries.

(3) Key USAID Processes: R4 and CSP preparation

(4) Associated Higher-Level Processes: MPP and BPP preparation, International Affairs Budget preparation, President's Budget preparation.

(5) Associated Lower-Level Processes: None.

6. Informal National Security Process Involvement.

USAID coordinates closely with the Department of State. A great deal of this interaction occurs in informal exchanges among regional and functional Bureaus at USAID and State. Heavy coordination also occurs at U.S. Missions abroad between USAID and other members of the country team. USAID also works with the Department of Defense (DoD), particularly on issues related to Africa. According to a source, a military officer is detailed from DoD to the USAID Bureau for Africa. The State Department has also detailed a Foreign Service Officer to the USAID Africa Bureau.[25]

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23 ADS Chapter 201**:** Managing for Results**:** Strategic Planning. Functional Series 200**:** USAID Program Assistance.

24 Interview with USAID official, November 18, 1999.

25 Interview with USAID official, November 18, 1999.

7. Funding and Personnel.

A. Authorization and Appropriations: Relevant authorizing committees are the Senate Foreign Relations Committee and the House International Relations Committee. Relevant appropriating committees are the Senate Foreign Operations Appropriations Subcommittee and the House Foreign Operations Appropriations Subcommittee.

B. Funding Sources: Funding for USAID comes in the form of foreign operations appropriations. The USAID budget request is part of the International Affairs portion of the President's Budget, also known as Function 150.

C. Budget: USAID's Fiscal Year 2000 total budget request for programs and operating expenses is for $ 7.2 billion. The table below shows USAID's appropriated levels for FY1998 and FY 1999, and budget request for FY 2000.[26]

	FY 1998 (appropriated levels)	**FY 1999 (appropriated levels)**	**FY 2000 (budget request)**
USAID Operating Expenses	$478,858,000	$492,650,000	$507,739,000
Total USAID Budget	$6,976,892,000	$7,092,731,000	$7,212,000,000

D. Manpower: USAID personnel numbers 2,500. Of this number, 650 staff are USAID Foreign Service Officers.

8. Observations.

A. Good Performance in Delivering Assistance: GAO has evaluated USAID's performance and coordination with other U.S. Government Agencies in providing rule of law assistance to five Latin American countries, and has concluded the programs are achieving their objectives and are well coordinated at the field level and at the interagency level.[27]

B. Role of USAID in Future Security Context: To the extent that the U.S. will continue to confront multidimensional security challenges, with humanitarian, socioeconomic and environmental components, assistance programs will be a critical component of crisis prevention and crisis management. USAID should therefore be fully integrated into the national security planning process. From a review of the literature and the limited interviews conducted, it is not clear the extent to which such integration occurs today beyond the connection between USAID planning and State's planning process.

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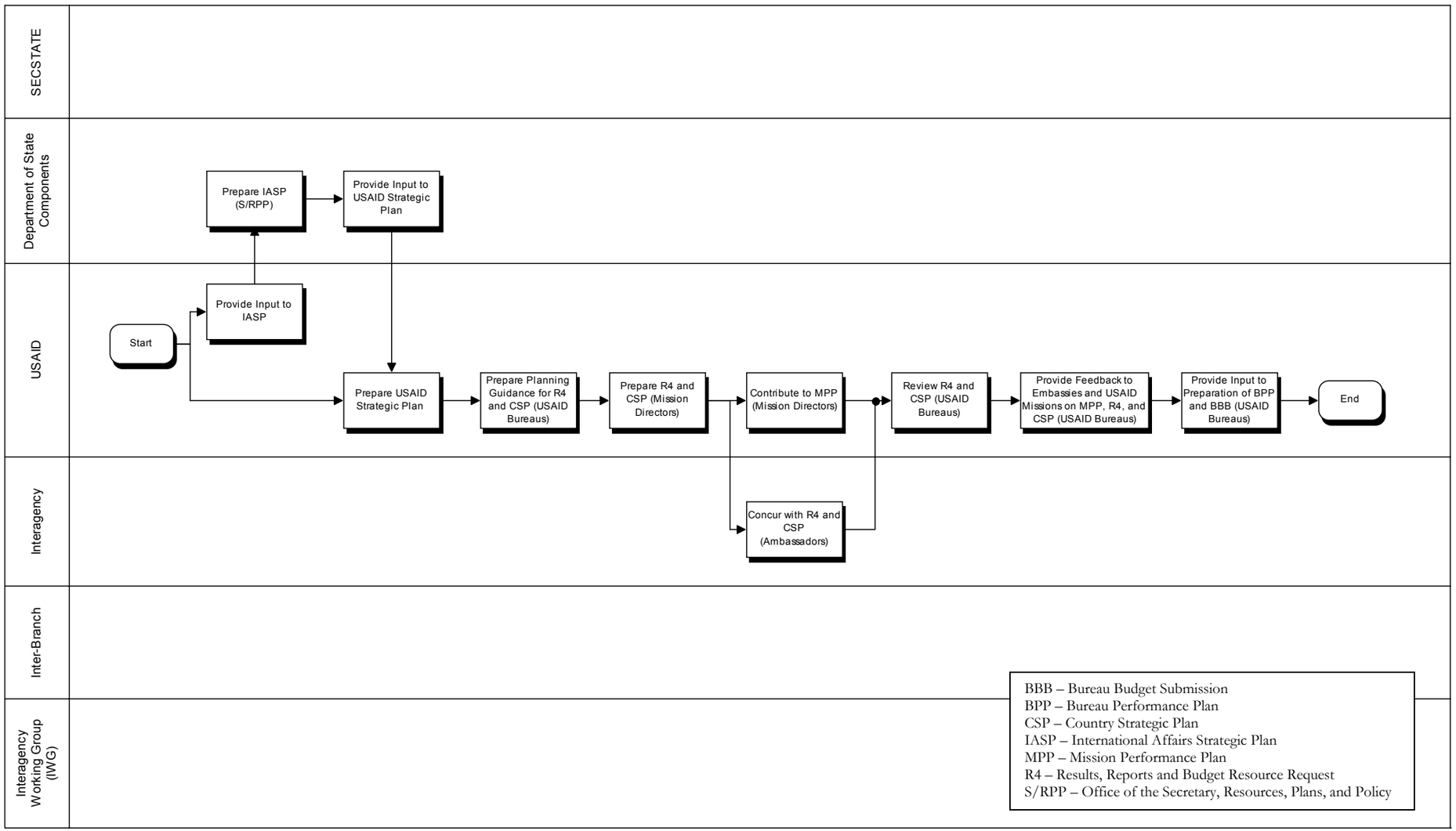
26 U.S. Agency for International Development. Summary of USAID Fiscal Year 2000 Budget Request. http://www.info.usaid.gov/pubs/cp2000/cp00bud.html.

27 General Accounting Office. Foreign Assistance: U.S. Role of Law Assistance to Five Latin American Countries. Washington, DC: GAO, August 4, 1999. GAO/NSIAD-99-195.

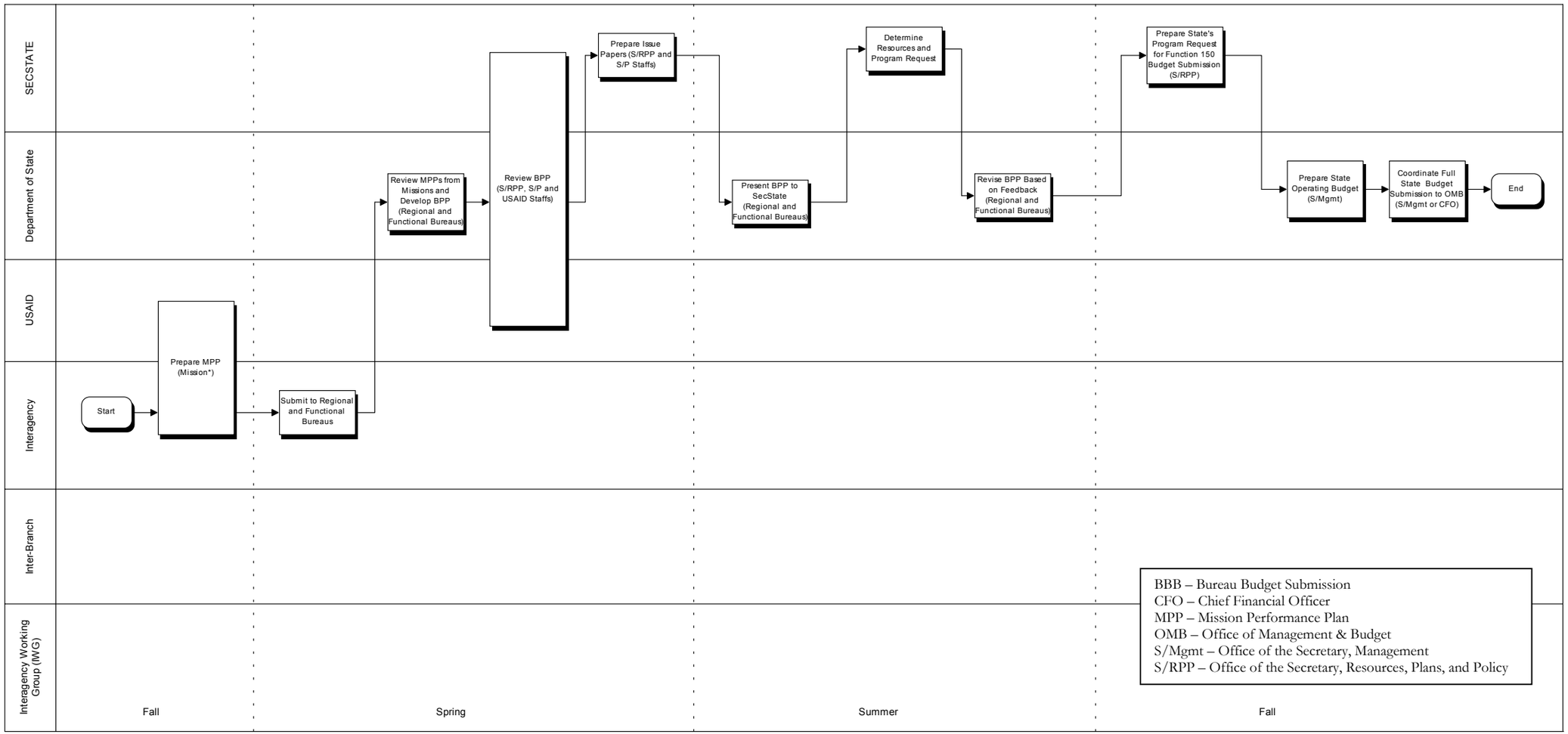
APPENDICES

USAID - Key Process - (Formal) – Planning – Preparation of R4 and CSP



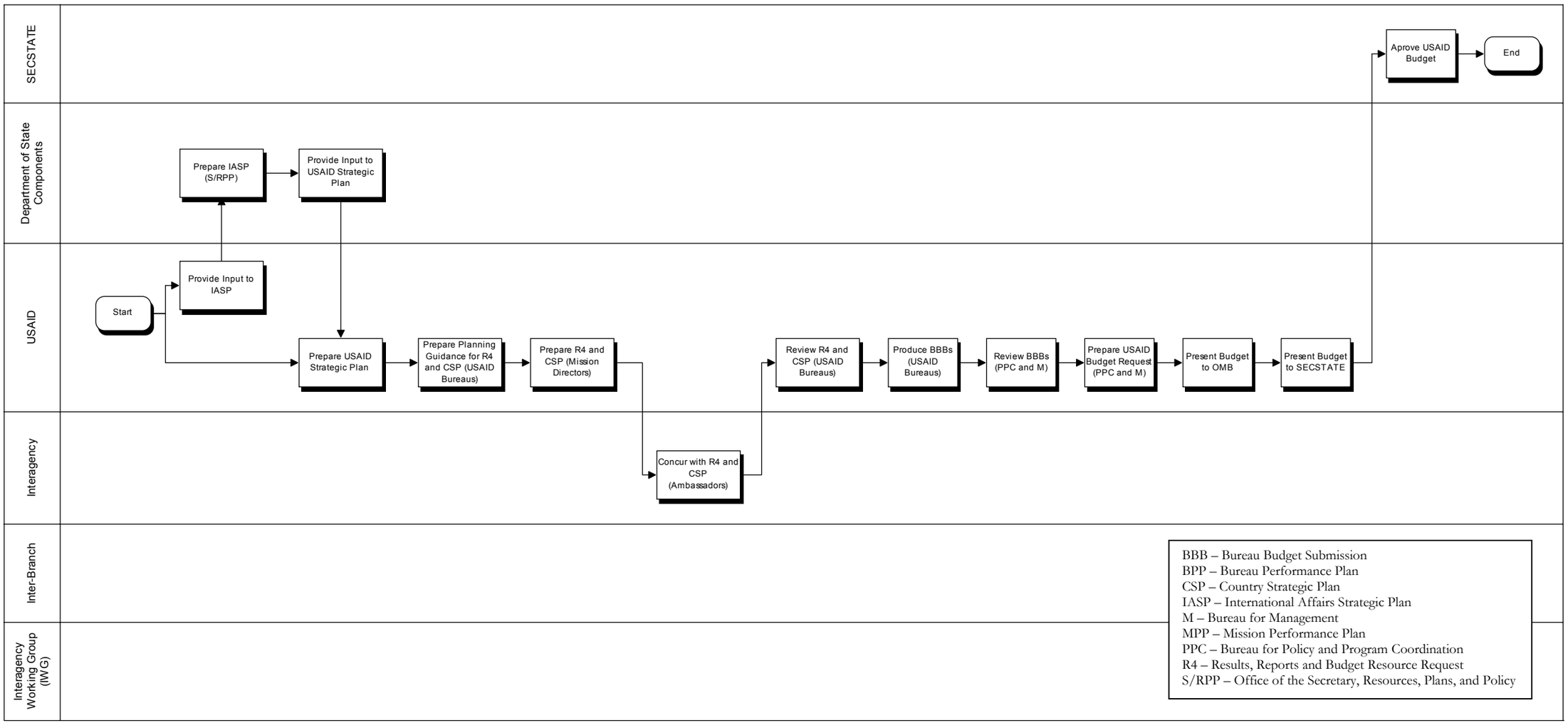
Appendix 1

USAID - Key Process - (Formal) – Planning – MPP and BPP Evaluation and Integration: Function 150



* Includes representatives from other agencies within the mission

USAID - Key Process - (Formal) – Resourcing



Appendix 3

Prefatory material from the volume containing this chapter has been appended to provide context

Note: Page added to electronic version by
USAID Development Experience Clearinghouse

Road Map For National Security

Addendum On Structure And Process Analyses

Volume V - Department of State

United States Commission
on
National Security/21st Century

April 15, 2001

National Security Study Group

assisted by

Booz·Allen & Hamilton

PREFACE

DEPARTMENT OF STATE

The chapters in this volume provide information concerning organizations in the Department of State, including the Office of the Secretary of State, the Under Secretary for Political Affairs, the Under Secretary for Economic, Business, and Agricultural Affairs, the Under Secretary for Arms Control and International Security, the Under Secretary for Global Affairs, the Director of Policy Planning, the U.S. Agency for International Development, the Bureau of European Affairs, the Bureau of Near Eastern Affairs, and the Bureau of East Asian and Pacific Affairs.

Each chapter is designed to serve as a stand-alone reference for a specific organization and its role in national security processes. Chapters are presented in standard format to permit comparisons and facilitate research. That format is:

- An executive summary that provides an organizational overview and observations.
- Section 1 identifies the legal basis for the organization and significant organization and interagency directives.
- Section 2 notes the major responsibilities of the organization, identifies subordinate organizations, and delineates the organization's major products.
- Sections 3 and 4 deal with the vision, strategy, values, culture, leadership, staff attributes, and structure of the organization.
- Section 5 discusses the organization's formal role seven key processes.
- Section 6 provides information on the organization's roles in informal processes.
- Section 7 outlines the responsible Congressional committees, the budget, and the personnel strength of the organization.
- Section 8 provides observations on ways in which the organization contributes to national security.

Descriptions of organizations deemed most significant in terms of the current national security apparatus include matrices that relate products and roles to processes. Process maps have been added as appendices for these organizations. Where it may be helpful for readers to consult other chapters to gain a more complete understanding of particular concepts or issues, the appropriate references are included in the text or in footnotes. An acronym glossary is included at the end of Volume VII.

The entire series consists of seven volumes:

- Volume I contains descriptions of the overarching interagency and inter branch processes as well as key observations on organizations and processes;
- Volume II contains chapters on the Executive Office of the President.
- Volume III contains chapters on key Congressional Committees.
- Volume IV provides descriptions of key Department of State Organizations.
- Volume V discusses Department of Defense organizations.
- Volume VI covers intelligence community organizations and activities.
- Volumes VIIa and VIIb describe Executive Branch organizations not covered elsewhere.

These volumes are based on comprehensive searches of available literature, laws, and directives and extensive interviews with current and former practitioners. Research included both formal and informal processes. There is sufficient information on each organization to fill several volumes, thus the synthesis of this information focuses on national security processes as defined by the U.S. Commission on National Security/21st Century.

Volume V – Department of State

Chapter 1 Office of the Secretary of State (S)

Chapter 2 Under Secretary for Political Affairs (P)

Chapter 3 Under Secretary for Economic, Business, and Agricultural Affairs (E)

Chapter 4 Under Secretary for Arms Control and International Security (T)

Chapter 5 Under Secretary for Global Affairs (G)

Chapter 6 Director of Policy Planning (S/P)

Chapter 7 U.S. Agency for International Development (USAID)

Chapter 8 Bureau of European Affairs (EUR)

Chapter 9 Bureau of Near Eastern Affairs (NEA)

Chapter 10 Bureau of East Asian and Pacific Affairs (EAP)

Bibliography